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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/517,366	03/02/2000	Jeffrey S Barber	10970975-1	4565

22879 7590 07/16/2003

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INTELLECTUAL PROPERTY ADMINISTRATION  
FORT COLLINS, CO 80527-2400

EXAMINER
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OPIE, GEORGE L

ART UNIT	PAPER NUMBER
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2126

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DATE MAILED: 07/16/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Applicant No.	Applicant(s)
	09/517,366	Barber et al.
	Examiner	Art Unit
	George L. Opie	2126

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

**Status**

- 1)  Responsive to communication(s) filed on \_\_\_\_\_.
- 2a)  This action is FINAL.      2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-30 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-30 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are objected to by the Examiner.
- 11)  The proposed drawing correction filed on \_\_\_\_\_ is: a)  approved b)  disapproved.
- 12)  The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. § 119**

- 13)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
  - a)  All b)  Some \* c)  None of the CERTIFIED copies of the priority documents have been:
    1.  received.
    2.  received in Application No. (Series Code / Serial Number) \_\_\_\_\_.
    3.  received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14)  Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

**Attachment(s)**

- 14)  Notice of References Cited (PTO-892)
- 15)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 16)  Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_
- 17)  Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_.
- 18)  Notice of Informal Patent Application (PTO-152)
- 19)  Other: Text Doc for USP6,289,462

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**DETAILED ACTION****1. Request for copy of Applicant's response on floppy disk:**

Please help expedite the prosecution of this application by including, along with your amendment response in paper form, an electronic file copy in WordPerfect, Microsoft Word, or in ASCII text format on a 3½ inch IBM format floppy disk.

Please include all pending claims along with your responsive remarks. Only the paper copy will be entered -- your floppy disk file will be considered a duplicate copy. Signatures are not required on the disk copy. The floppy disk copy is not mandatory, however, it will help expedite the processing of your application. Your cooperation is appreciated.

**2. The U.S. Patents used in the art rejections below have been provided as text documents which correspond to the U.S. Patents. The relevant portions of the text documents are cited according to page and line numbers in the art rejections below. For the convenience of Applicant, the cited sections are highlighted in the *text documents*. Consistent with Office procedure, the U.S. Patents corresponding to the *text documents* are also included with this action.**

**3. Claim Rejections - 35 U.S.C. § 102**

The following is a quotation of the appropriate paragraphs of 35 U.S.C. § 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

**4. Claims 1-30 are rejected under 35 U.S.C. § 102(e) as being anticipated by McNabb et al. (U.S. Patent 6,289,462).**

As to claim 1, McNabb teaches a "trusted server computing system is provided for permitting controlled execution of processes", p6 28-43 comprising:

a software process operating on a computer "process is the instance of a running program ... such as a network browser", p9 23-40 the process including a plurality of attributes "attributes of the process", Id.

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an operating system kernel “Unix ... kernel”, p10 37-56 in communication with the software process “requesting process”, Id. and in communication with an executable file to be accessed by said software process “permissions permit the execution of the file”, Id. and

“[w]hen a process attempts to access a file system object, the OS compares various attributes of the process with attributes of the object, and allows or denies access”, p8 44-57 through the use of a “database and privilege sets of the file” p14 21-47.

As to claim 2, McNabb (p5 26-37) teaches a sensitivity label in conjunction with extended attributes for augmenting security.

As to claim 3, McNabb (p9 23-40) teaches “the trusted server system has added an ‘authorization database’ in the OS that is used to see if the user running the process can access or execute the requested program.”

As to claim 4, McNabb (p9 23-40) teaches “the OS compares the attributes of the process to . . . user and roup identifiers”.

As to claim 5, McNabb (p16 1-25) teaches the “application resides in its own compartment”.

As to claims 6-8, McNabb (pp21-22) teaches the web server, file transfer and mail server processes.

As to claim 9, McNabb (p17 12-27) teaches the processor associates user process privileges with the requested object upon commencing connection/execution with that object.

As to claim 10, McNabb (p21 37-55) teaches the updating/replacing of attributes associated with a process.

As to claims 11-20, note the rejections of claims 1-20 above. Claims 11-20 are the same as claims 1-10, except claims 11-20 are method claims and claims 1-10 are apparatus claims.

As to claims 21-30, note the rejections of claims 1-20 above. Claims 21-30 are the same as claims 1-10, except claims 11-20 are computer program product claims and claims 1-10 are apparatus claims.

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5. The prior art of record and not relied upon is considered pertinent to the applicant's disclosure. Each reference disclosed below is relevant to one or more of the Applicant's claimed invention.

U.S. Patent No. 6,393,569 to Orensteyn which teaches the controlling client access of objects via operating system security services;

U.S. Patent No. 6,279,111 to Jensenworth et al. which teaches the access tokens with added security attributes;

U.S. Patent No. 5,872,915 to Dykes et al. which teaches the browser ID authentication for client-server application privileges;

U.S. Patent No. 5,560,008 to Johnson et al. which teaches the authorization of a process to access a program responsive to privileged attributes; and,

U.S. Patent No. 5,305,456 to Boitana which teaches the extended OS control for managing requested access to applications.

#### Contact Information:

##### PTO Policy for Facsimile Submissions:

- AFTER-FINAL faxes must be signed and sent to (703) 746-7238.
- OFFICIAL faxes must be signed and sent to (703) 746-7239.
- NON OFFICIAL faxes should be sent to (703) 746-7240.

All OFFICIAL faxes will be handled and entered by the docketing personnel. The date of entry will correspond to the actual FAX reception date unless that date is a Saturday, Sunday, or a Federal Holiday within the District of Columbia, in which case the official date of receipt will be the next business day. The application file will be promptly forwarded to the Examiner unless the application file must be sent to another area of the Office, e.g., Finance Division for fee charging, etc.

- All responses sent by U.S. Mail should be mailed to:

PLEASE NOTE NEW USPTO MAILING ADDRESS EFFECTIVE MAY 1, 2003

**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

- Hand-delivered responses should be brought to Crystal Park Two, 2021 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist). All hand-delivered responses will be handled and entered by the docketing personnel. Please do not hand deliver responses directly to the Examiner.

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- Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist at **(703) 305-9600**.
- Any inquiry concerning this communication or earlier communications from the examiner should be directed to George Opie at (703) 308-9120 or via e-mail at [George.Opie@uspto.gov](mailto:George.Opie@uspto.gov). Internet e-mail should not be used where sensitive data will be exchanged or where there exists a possibility that sensitive data could be identified unless there is an express waiver of the confidentiality requirements under 35 U.S.C. 122 by the Applicant. Sensitive data includes confidential information related to patent applications.



ZARNI MAUNG  
PRIMARY EXAMINER